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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/631,165

07/31/2003

Kimberly D. Seaman

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EXAMINER

GRAHAM, CLEMENT B

ART UNIT

PAPER NUMBER

3692

MAIL DATE

DELIVERY MODE

10/09/2007

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

**Office Action Summary**

Application No.

10/631,165

Applicant(s)

SEAMAN ET AL.

Examiner

Clement B. Graham

Art Unit

3692

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 31 July 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-39 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-39 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_.

DETAILED ACTION  
**Claim Rejections - 35 USC § 102**

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-39, are rejected under 35 U.S.C. 102(e) as being anticipated by Keith Jr U.S. Pub: 20020023085).

As per claim 1, Keith Jr discloses in a financial institution, a method for managing corporate action information of at least one entity, said method comprising:  
receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;  
matching at least a portion of said corporate action data to at least one client of the financial institution;  
generating at least one notification including at least a portion of said corporate action data; and,  
performing at least one workflow management activity in connection with generating said notification including said corporate action data.(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 2, Keith Jr discloses further comprising maintaining at least a portion of said mandatory corporate action data in a designated new category pending an indication of review of said mandatory corporate action data. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 3, Keith Jr discloses further comprising associating at least a portion of said corporate action data with a preparation date category. .(see column 3

para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 4, Keith Jr discloses further comprising associating at least a portion of said mandatory corporate action data with at least one important date. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 5, Keith Jr discloses 5. The method of Claim 1, further comprising associating at least a portion of said mandatory corporate action data with at least one meeting date. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 6, Keith Jr discloses, further comprising associating at least a portion of at least one of said mandatory corporate action data and said voluntary corporate action data with a missing information category. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 7, Keith Jr discloses further comprising associating said missing information category with said portion of said mandatory corporate action information in connection with identifying at least one important date and rate information for said portion of said mandatory corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 8, Keith Jr discloses further comprising automatically releasing said corporate action data for notification after occurrence of said receiving said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 9, Keith Jr discloses wherein said corporate action data includes at least mandatory corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 10, Keith Jr discloses further comprising designating at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 11, Keith Jr discloses further including establishing said preliminary status if at least an important date and a meeting date are not associated with said

mandatory corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 12, Keith Jr discloses further comprising updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 13, Keith Jr discloses further comprising recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 14, Keith Jr discloses further comprising identifying an eligibility calculation for application to said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 15, Keith Jr discloses further comprising executing said eligibility calculation for said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 16, Keith Jr discloses wherein said eligibility calculation includes a calculation selected from the group consisting of effective date, expiration date, record date, ex date, publication date, odd lot, and default. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 17, Keith Jr discloses further comprising performing an inquiry regarding traded but not yet settled security transactions that affect eligibility associated with at least a portion of said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 18, Keith Jr discloses further comprising projecting proceeds associated with at least a portion of said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 19, Keith Jr discloses wherein said projecting said proceeds includes considering an amount of said proceeds expected to be received, considering a date on which said proceeds are expected to be received and posted, and considering

a projection status. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 20, Keith Jr discloses wherein said portion of said corporate action data includes mandatory corporate action data. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 21, Keith Jr discloses further comprising basing said projection of said proceeds on at least one of an eligible position associated with said mandatory corporate action data and a rate associated with said mandatory corporate action data. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 22, Keith Jr discloses wherein said portion of said corporate action data includes voluntary corporate action data. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).  
.(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 23, Keith Jr discloses further comprising basing said projection of said proceeds on at least a responded position for an option associated with said voluntary corporate action data. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 24, Keith Jr discloses further comprising generating at least one projection record in association with said projecting of said proceeds. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 25, Keith Jr discloses further comprising associating at least one of said projection records with a projection status, said projection status selected from a group of statuses consisting of unable to calculate status, no response status, pending status, posted status, and deleted/terminated status. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 26, Keith Jr discloses further comprising updating previously projected proceeds for said mandatory corporate action data. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 27, Keith Jr discloses further comprising performing said updating of said previously projected proceeds in association with a change in an eligible position associated with said mandatory corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 28, Keith Jr discloses further comprising performing said updating of said previously projected proceeds in association with a change in a rate included within said mandatory corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 29, Keith Jr discloses further comprising linking a payment item with an active corporate action announcement associated with at least a portion of said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 30, Keith Jr discloses further comprising establishing a new announcement associated with said corporate action data and linking a payment item to said new announcement. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 31, Keith Jr discloses further comprising reconciling a payment item received in connection with at least a portion of said corporate action data against a proceeds amount projected for said portion of said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 32, Keith Jr discloses further comprising processing at least one response received in connection with said corporate action data by updating a holders response table to reflect said response. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 33, Keith Jr discloses further comprising updating at least one audit log record to reflect said updating of said holders response table. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 34, Keith Jr discloses further comprising generating a response queue page having an interactive queue including at least one response processed in connection with said corporate action data. (see column 3 para 0022 and column 6

lines para 0040-0047 and column 17 lines claim 1).

As per claim 35, Keith Jr discloses further comprising generating an end-of-the-day report including at least one response supplied in connection with said corporate action data and not acknowledged at the time of said generating of said end-of-the-day report. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 36, Keith Jr discloses further comprising generating a daily response report for displaying a history of response activity in connection with said corporate action data for a given period of time. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 37, Keith Jr discloses further comprising associating at least a portion of said mandatory corporate action data with at least one due bill period. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 38, Keith Jr discloses in a financial institution, a computer-readable medium including instructions for performing a method for managing corporate action information of at least one entity, said medium comprising:  
instructions for receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;  
instructions for matching at least a portion of said corporate action data to at least one client of the financial institution.(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1)  
instructions for generating at least one notification including at least a portion of said corporate action data; and,  
instructions for performing at least one workflow management activity in connection with generating said notification including said corporate action data. (see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

As per claim 39, Keith Jr discloses in a financial institution, a system for managing corporate action information of at least one entity, said system comprising:  
means for receiving data associated with at least one corporate action of at least one of



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said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;  
means for matching at least a portion of said corporate action data to at least one client of the financial institution.(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1) means for generating at least one notification including at least a portion of said corporate action data; and,  
means for performing at least one workflow management activity in connection with generating said notification including said corporate action data. .(see column 3 para 0022 and column 6 lines para 0040-0047 and column 17 lines claim 1).

#### Conclusion

3. The prior art of record and not relied upon is considered pertinent to Applicants disclosure.

Walker et al (US 2001/0042785 A1 PUB) teaches method and apparatus for funds and credit line transfer.

W eichert et al (US 2004,0117302 Pub) teaches payment management.

Jones er al. et all (US Patent 6, 021, 397) teaches financial advisory system.

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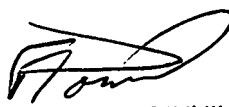
4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Clement B Graham whose telephone number is 571-272-6795. The examiner can normally be reached on 7am to 5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kambiz Abdi can be reached on 571-272-6702. The fax phone numbers for the organization where this application or proceeding is assigned are 703-305-0040 for regular communications and 703-305-0040 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

CG

Sept 8, 2007

  
FRANTZY POINVIL  
PRIMARY EXAMINER  
*AU 3692*